

12/06/01  
1131 U.S.  
12/06/01Please type a plus sign (+) inside this box → Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

- Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
- Applicant claims small entity status.  
See 37 CFR 1.27.
- Specification [Total Pages **24**]  
(Preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed Sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
- Drawing(s) (35 U.S.C. 113) [ Total Sheets **6** ]
- Oath or Declaration [ Total Pages  ]  
 a.  Newly executed (original or copy)  
Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
   
 b. 
 i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
   
 ii.  Application Data Sheet. See 37 CFR 1.76

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation  Divisional  Continuation-in-part (CIP)

of prior application No. \_\_\_\_\_

Prior application information:

Examiner \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

<input type="checkbox"/> Customer Number or Bar Code Label	020988			<input type="checkbox"/> or <input type="checkbox"/> Correspondence address below
(Indicate Customer No. or attach Bar Code Label here)				
Name	Ogilvy Renault			
Address				
City	State		Zip Code	
Country	Telephone	613-230-6072	Fax	613-230-6706

Name (Print/Type)	Max R. Wood	Registration No. (Attorney/Agent)	40,388
Signature	12/05/2001		

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

12/05/2001  
12/05/2001

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# FEE TRANSMITTAL

## for FY 2002

Patent fees are subject to annual revision

TOTAL AMOUNT OF PAYMENT (\$ 834.00)

## Complete if Known

Application Number	
Filing Date	
First Named Inventor	Robert R. Williams
Examiner Name	
Group Art Unit	
Attorney Docket No.	9-13528-162US

## METHOD OF PAYMENT

The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **19-5113**  
Deposit Account Name **OGILVY RENAULT**

Change Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17  
 Applicant claims small entity status  
See 37 CFR 1.27

 Payment Enclosed:

Check  Credit card  Money Order  Other

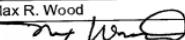
## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath
127	50	227	25	Surcharge - late provisional filing fee or cover sheet
139	130	139	130	Non-English specification
147	2,520	147	2,520	For filing a request for ex parte reexamination
112	920*	112	920*	Requesting publication of SIR prior to Examiner action
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action
115	110	215	55	Extension for reply within first month
116	400	215	200	Extension for reply within second month
117	920	217	460	Extension for reply within third month
118	1,440	218	720	Extension for reply within fourth month
128	1,960	228	980	Extension for reply within fifth month
119	320	219	160	Notice of Appeal
120	320	220	160	Filing a brief in support of an appeal
121	280	221	140	Request for oral hearing
138	1,510	138	1,510	Petition to institute a public use proceeding
140	110	240	55	Petition to revive - unavoidable
141	2,800	241	640	Petition to revive - unintentional
142	1,280	242	640	Utility issue fee (or reissue)
143	460	243	230	Design issue fee
144	820	244	310	Plant issue fee
122	130	122	130	Petitions to the Commissioner
123	50	123	50	Processing fee under 37 CFR 1.17(q)
126	180	126	180	Submission of Information Disclosure Stmt
581	40	581	40	Recording each patent assignment per property (times number of properties)
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(f))
149	740	249	370	For each additional invention to be examined (37 CFR § 1.128(b))
179	740	279	370	Request for Continued Examination (RCE)
169	900	169	900	Request for expedited examination of a design application
Other fee (specify)				
*Reduced by Basic Filing Fee Paid				<b>SUBTOTAL (3) (\$ 40.00)</b>

\*or number previously paid, if greater. For Reissues, see above

## Complete if applicable

SUBMITTED BY			
Name (Print/Type)	Max R. Wood	Registration No (Attorney/Agent)	40,388
Signature			
	Telephone	613-230-6072	
	Date	12/05/2001	

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

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Application or Docket Number  
**9-13528-162US**

PATENT APPLICATION FEE DETERMINATION RECORD			
CLAIMS AS FILED - PART I (Column 1) (Column 2)			
FOR	NUMBER FILED	NUMBER EXTRA	SMALL ENTITY OR OTHER THAN SMALL ENTITY
BASIC FEE (37 CFR 1.16(a))			RATE FEE
TOTAL CLAIMS (37 CFR 1.16(a))		23 minus 20 = * 3	\$ _____
INDEPENDENT CLAIMS (37 CFR 1.16(b))		2 minus 3 = * 0	x \$ _____ =
MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(d))			x _____ =
			+ _____ =
			TOTAL 0
			OR TOTAL 794
* If the difference in column 1 is less than zero, enter "0" in column 2			
CLAIMS AS AMENDED - PART II (Column 1) (Column 2) (Column 3)			
AMENDMENT A	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
Total (37 CFR 1.16(c))		* Minus	** =
Independent (37 CFR 1.16(b))		* Minus	*** =
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))			
(Column 1) (Column 2) (Column 3)			
AMENDMENT B	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
Total (37 CFR 1.16(c))		* Minus	** =
Independent (37 CFR 1.16(b))		* Minus	*** =
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))			
(Column 1) (Column 2) (Column 3)			
AMENDMENT C	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA
Total (37 CFR 1.16(c))		* Minus	** =
Independent (37 CFR 1.16(b))		* Minus	*** =
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))			
* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.			
** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".			
*** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".			
The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.			
Burden Hour Statement: This form is estimated to take 0.2 hours to complete. This estimate is for an average claim. Depending upon the needs of the individual case, an average of one hour per claim of time is required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.			
ADDITIONAL FEE			
AMENDMENT A	RATE	ADDITIONAL FEE	RATE
Total (37 CFR 1.16(c))		x \$ _____ =	x \$ _____ =
Independent (37 CFR 1.16(b))		x _____ =	x _____ =
		+ _____ =	+ _____ =
		TOTAL 0	OR TOTAL 0
AMENDMENT B	RATE	ADDITIONAL FEE	RATE
Total (37 CFR 1.16(c))		x \$ _____ =	x \$ _____ =
Independent (37 CFR 1.16(b))		x _____ =	x _____ =
		+ _____ =	+ _____ =
		TOTAL 0	OR TOTAL 0
AMENDMENT C	RATE	ADDITIONAL FEE	RATE
Total (37 CFR 1.16(c))		x \$ _____ =	x \$ _____ =
Independent (37 CFR 1.16(b))		x _____ =	x _____ =
		+ _____ =	+ _____ =
		TOTAL 0	OR TOTAL 0

OGILVY  
RENAULT

12/06/01  
U.S. PRO  
10003520-120501

1c997 U.S. PRO  
10/003520  
10/021

December 5, 2001

Assistant Commissioner for Patents  
Washington, D.C. 20231  
U.S.A.

Sir:

Re: **New United States Patent Application**

**Title: METHOD AND APPARATUS FOR CONNECTING  
AN IP-BASED CLIENT TO A SERVER THROUGH AN  
OSI NETWORK**

**Inventor(s): Robert R. WILLIAMS et al.**

**Assignee: Nortel Networks Limited**

**Our File: 9-13528-162US MRW**

Transmitted herewith for filing is the patent application of:

**INVENTORS:** Robert R. WILLIAMS  
Milan M. KANTOR

**TITLE OF THE INVENTION:**

METHOD AND APPARATUS FOR CONNECTING AN IP-BASED  
CLIENT TO A SERVER THROUGH AN OSI NETWORK

The following documents are enclosed:

- a) Utility Patent Application Transmittal PTO/SB/05
- b) Our cheque No. 008749,

Fee Transmittal Form PTO/SB/17 (in duplicate) and Patent Application Fee  
Determination Record PTO/SB/06, covering:

Filing Fee	\$740.00
Recording of Assignment	\$ 40.00
<b>Total Number of Claims: 23</b>	
Claims in excess of 20 (3 @ \$18.00)	\$ .54.00
<b>Total</b>	<b>\$834.00</b>

**Lawyers and patent and trade-mark agents**

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Continuing the practices of  
Meighen Demers  
Ogilvy Renault  
Swabey Ogilvy Renault

Montréal • Ottawa • Québec • Toronto • Vancouver • London (England)

OGILVY  
RENAULT

Assistant Commissioner for Patents

December 5, 2001

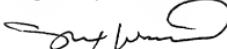
- c) Specification/Claims/Abstract
- d) Formal Drawings (6 Sheets - Figs. 1 - 6B)
- e) Declaration under 37 CFR 1.63, with Patent Application Data Sheet
- f) Power of Attorney
- g) Assignment in favor of Nortel Networks Limited ✓ with Recordation Form PTO-1619A
- h) Information Disclosure Statement with PTO Form 1449
- i) Return receipt postcard.

The applicant/inventor(s) qualify for **large** entity status.

The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to our Account No. 19-5113.

Please note that the address of the agents for the applicant in this matter should be the Montreal address identified in the enclosed Power of Attorney. Correspondence may be directed to Max R. Wood at the Montreal address of Ogilvy Renault.

Respectfully submitted,



Max R. Wood  
Reg. No. 40,388  
Agent of Record  
Encls.